



#3  
205  
C 01-42  
125

PATENT  
Attorney Docket No.: SLM-06400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David T. Amm, *et al.*

Serial No.: 09/930,838

Filed: August 15, 2001

For: **BLAZED GRATING LIGHT  
VALVE**

COPY OF PAPERS  
ORIGINALLY FILED

Group Art Unit: 2872

Examiner:

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicant has become aware of the following printed publication which may be material to the examination of this application:

- U.S. Patent No. 5,691,836;
- U.S. Patent No. 5,986,796; and
- U.S. Patent No. 6,195,196 B1.

RECEIVED  
MAR - 6 2002  
MC 2800 MAIL ROOM

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 1/31/02

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

- 2 -

HAVERSTOCK & OWENS LLP

Date: 1-31-02 By: John D. Korman



PATENT  
Attorney Docket No.: SLM-06400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David T. Amm, *et al.*

Serial No.: 09/930,838

Filed: August 15, 2001

For: **BLAZED GRATING LIGHT  
VALVE**

COPY OF PAPERS  
ORIGINALLY FILED

Group Art Unit: 2872

Examiner:

**CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR § 1.97(e)**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
MAR - 6 2002  
800 MAIL ROOM

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I, the person signing below, hereby certify that the printed publications contained in the enclosed information disclosure statement were cited within Official Actions mailed on December 6, 2001. Accordingly, I hereby certify that no reference contained within this supplemental information disclosure statement was cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, no reference contained within this supplemental information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. 37 C.F.R. 1.97(e)(2).

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 1-31-02

By: Thomas B. Havestock

Thomas B. Havestock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP.

- 2 -

Date: 1-31-02 By: Thomas B. Havestock

2872



COPY OF PAPERS  
ORIGINALLY FILED

Attorney Docket No.: PATENT  
SLM-06400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David T. Amm, *et al.*

Serial No.: 09/930,838

Filed: August 15, 2001

For: **BLAZED GRATING LIGHT  
VALVE**

) Group Art Unit: 2872

) Examiner:

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

RECEIVED  
MAR - 6 2002  
TC 2800 MAIL ROOM

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 1-31-02

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

- 1 -

HAVERSTOCK & OWENS LLP

Date: 1-31-02 By: Thomas B. Haverstock